

STRATEGIC PREVENTION FRAMEWORK STATE INCENTIVE GRANT PROGRAM

Guidance for Developing the State Strategic Plan

Introduction

Strategic Prevention Framework State Incentive Grant (SPF SIG) grantees are required to develop and submit a State Strategic Plan and receive written approval of the Plan by the Center for Substance Abuse Prevention (CSAP) before any SPF SIG funds are provided to communities.

This guidance document is designed to assist State grantees in developing their Strategic Plan and provides guidance on the types of data and information needed by CSAP for approval of the Plan and to set the stage for implementation of the Strategic Prevention Framework. Although the document is organized around the five steps of the SPF (with emphasis on the first three steps), CSAP is not requiring a specific format or structure to be used in developing the Plan. Rather, the guidance document provides the key steps and content considerations to help guide the State through the entire process of developing its Strategic Plan.

As specified in the SPF SIG, State grantees are required to allocate a minimum of 85 percent of the total SPF SIG grant award to community level prevention activities. Your Strategic Plan should therefore clearly describe the State's prevention priorities, the processes used to define these priorities, and the State's proposed approaches for addressing them. CSAP expects that States clearly show how data-driven decision making yielded such priorities, and how proposed activities and allocation mechanisms are positioned to address these identified priorities.

At this stage in the SPF SIG, your State Strategic Plan should paint a comprehensive picture of all data-driven priorities that emerge from State Epidemiological Workgroup and other assessment activities. It will begin to set the stage for community-level implementation of the SPF as well as the type of data and capacity infrastructure the State needs to develop to support communities. (Please note: the Plan should not describe specific intervention strategies that communities will use to address priority problems since these strategies will subsequently be carried out by local communities.)

In addition, States should describe the mechanism(s) States plan to use to distribute funds to communities. Upon detailing community allocations, States should provide evidence that they will address identified capacity and infrastructure needs and ensure that communities engage in the SPF process, employ evidence-based strategies to address needs, and conduct these efforts in both a sustainable and culturally competent manner.

Finally, States should provide preliminary plans for how they plan to monitor and evaluate their SPF SIG and describe the degree to which the Plan addresses the cross-cutting issues specified in the Guidance document.

The Strategic Plan represents States' commitment to invest resources that are specifically directed at defined prevention priorities. CSAP expects the Plan to provide the foundation for ongoing, iterative work that States and communities will engage in over the next several years. As communities define factors contributing to identified priorities and select specific interventions to address them, they will begin to develop a more comprehensive Plan.

1. CSAP understands that each State's Strategic Plan is a work in progress. Accordingly, we expect to receive updates of your Plan as your grant moves through later stages of the SPF and the Plan is refined to incorporate implementation, evaluation and monitoring activities as well as continuing capacity building

Below, we provide guidance on six essential components of your Strategic Plan: Assessment, Capacity Building, Planning, Implementation, Evaluation and Cross Cutting Components.

Assessment

We have divided the Assessment component into three elements that should be incorporated into your State's Strategic Plan: 1) assessing the substance abuse related **problems**; 2) assessing the substance abuse related **systems** in place in your communities (capacity and infrastructure); 3) the Criteria and Rationale for Determining the SPF SIG Plan Priorities; and 4) a Description of the SPF SIG Priorities. We provide guidance on each of these elements below.

1. Assessing the Problem (Epidemiological Profile)

Using an array of appropriate data and information, describe the substance abuse related problems in your State. The problem statement component of your strategic plan document should incorporate but not be limited to:

- Appropriate data indicators on substance use and substance related consequences you have used to assess need in your State and portray and detail the nature and extent of the problem, assess needs and other relevant information
- Discussion of all policies, procedures, and processes that were considered or were utilized to identify and collect these indicators.
- A profile of all substance use and substance related consequences in your State, communities, and their populations (i.e. tribal and ethnic communities) as determined by your EPI Work Group Findings. Describe in appropriate detail relevant consumption patterns and consequences, populations, geographic areas. Note: This grant requires assessing the substance abuse problem across the lifespan, and also with respect to underage drinking issues.

2. Assessing the Systems (Capacity and Infrastructure)

Using appropriate data and information, describe the substance abuse related systems that are place in communities throughout your State. This component should incorporate but not be limited to:

- The community prevention infrastructure in place (i.e., coalitions resource centers, etc)
- The effectiveness of the community prevention infrastructure in place
- Significant gaps in the current community prevention systems in your State

- The capacity of communities in your States to implement the strategic prevention framework
- The capacity of communities in your State to collect, analyze and report on data.

3. Criteria and Rationale for SPF SIG Priorities

Describe and discuss all criteria your State used in arriving at, ordering and/or weighting targeted priorities. Your rationale may include:

- The criteria the State is using to define 'critical need' based on substance related consequence and consumption data presented in the State's epidemiological profile
- The State-level areas of critical need: (e.g., specific consumption patterns, consequences, populations, geographic areas). Please describe how the criteria you described in element 1 above were applied to substance use and substance related consequences data to determine these areas of critical need.
- Any additional criteria (e.g., program resources, readiness, capacity) that the State is using to determine priority targets,
- The rationale for use of each criterion,
- A description of the procedures and/or processes that were utilized in the application of these criteria.

4. Description of SPF SIG Priorities

This component should be depicted in a matrix/PERT/GANTT chart and/or logic model, and should include the following information:

2. A detailed description of the SPF SIG Plan priorities the State has identified as a result of this assessment and prioritization process.
3. The procedures and processes that were utilized in order to determine final SPF SIG priorities.
4. The individual(s) or group who made the final decisions regarding these SPF SIG priorities.

Capacity Building

In completing the Capacity Building component of the Plan, the State should provide a synopsis of its proposed approach for ensuring ongoing capacity building at the State and local levels through the SPF SIG. The building of State and community capacity should align with the priorities that were established from the assessment steps of the strategic planning process. This component includes three elements: 1) Areas Needing Strengthening; 2) State- and Community-level Activities; and 3) Continuing development of the SEW. We provide guidance for each element below.

1. Areas Needing Strengthening

Identify and describe areas in which the State needs to strengthen its capacity in order to effectively implement the SFP SIG.

2. State- and Community-level Activities

Describe SPF SIG capacity building activities that will be conducted at the State-wide and those that may occur at the local community level(s) (e.g. training for State personnel, surveillance and monitoring activities, etc.).

3. Role of the SEW Workgroup

Describe the expected role of the State Epidemiological Workgroup (SEW) in the remaining years of the grant, and how the State plans to strengthen this Workgroup. Please describe how the State will continue to collect and analyze data in order to identify emerging priority areas and monitor substance abuse consequences and consumption patterns over time

Planning

Ongoing Planning Activities

In completing the Planning component, States should describe the proposed approach to developing and deploying SPF SIG grant resources and the programmatic mechanisms to address SPF SIG priorities. This component should include at least four elements: 1) State Planning Model; 2) Description of community-based activities; 3) Allocation Approach; and 4) Implications of Allocation Approach.

1. State Planning Model

Provide a description of the planning model your State used to determine how to allocate SPF SIG funds. (e.g., equity model; resourcing high need areas/populations to address a specific problem in each area; resourcing high need areas/populations to address State-identified priority problems in several areas, or other planning models proposed by the grantee)

2. Community-based Activities

Describe the community-based activities (e.g., further needs assessment; capacity-building; implementation of programs, practices and policies, etc.) that the SPF SIG allocations are expected support.

3. Allocation Approach

Please describe your allocation approach in detail, including how the following items were factored into the approach:

- How the community-based activities listed in element 2. above address your State's definitions of "high need" based on consequence and consumption data.
- How these activities address priorities that may emerge from applying additional criteria (e.g.; resources, capacity, etc.) to areas of high need.
- How you expect to allocate SPF SIG grant dollars to support these activities and the mechanism(s) that you expect to use. Please indicate how many subrecipient grants/contracts the State expects to make and the process by which sub-recipient grantees will be chosen.
- How these mechanisms enable your State to address the priorities that were identified.
- How the State ensures that relevant and appropriate policies, practices and programs are funded at the subrecipient level.

- How the State ensures that all activities funded at the subrecipient level are culturally competent and culturally inclusive.
- How the State ensures that activities funded at the subrecipient level are sustainable once grant funding has ended.

4. Implications of Allocation Approach

Describe the implications of the allocation approach described above for addressing the scope and nature of the problems identified. Please note that intervening variables, including risk and protective factors, should be considered after the priority problems have been identified. (These intervening variables do not need to be identified for this current plan submission)

In your discussion, it is important to include: 1) both State- and community-wide implications on reducing consumption and/or consequences; and 2) implications of State capacities to support community grantees (e.g., data collection; training and technical assistance; knowledge of evidence-based strategies, etc.)

In addition, please describe non SPF SIG resources (e.g., data systems, other funding streams, personnel, etc.) the State is planning to direct or is currently directing toward the problem priority areas identified in the Plan.

Implementation

This component focuses on the approach the State will take in implementing State level capacity and infrastructure activities as well as community level SPF SIG policies, programs and practices.

Discuss the planned implementation activities that will occur at the State level.

Briefly describe how the State plan will support the work of community grantees, including:

- 1) The mechanisms that will be put in place to determine training and technical assistance needs of communities; and
- 2) The procedures that will be put in place to ensure that needed training is provided to communities and is successful.

Describe how you will ensure that if your SPF SIG plans to fund coalitions as subrecipients, that you do not fund duplicative substate anti-drug coalition infrastructures, but utilize those already functioning and funded by programs such as the Drug Free Community Program.

Evaluation

To complete this component, grantees should provide only a brief preliminary narrative. (States will be asked to provide updates to CSAP on evaluation and monitoring SPF SIG at a later date) In your brief narrative, please include the following considerations:

- 1) Given the SPF SIG allocations described in your plan, discuss the State-level surveillance, monitoring, and evaluation activities you anticipate implementing.

- 2) Describe what you are expecting to track and how you plan to do the tracking.
- 3) Discuss what you are expecting to change.
- 4) Describe how you will ensure that your sub recipient communities will collect required SAMHSA/CSAP national outcome measures data, how the data will be then submitted both to the State and to CSAP

Cross-Cutting Components and Challenges

Your plan should include a discussion of 3 areas of major focus that cut across all steps of the strategic prevention framework. Describe how your State's Strategic Plan will:

- Ensure the inclusion of cultural competence in State and community level SPF steps, and
- Address underage drinking in your State.

Describe:

- The challenges you have encountered in applying a "need-based" allocation process.
- The challenges you expect during implementation of the State's Plan.
- The timelines and milestones the State has developed for implementing the activities in the State's Plan.